



FW

ATTORNEY DOCKET NO.: 2004993-0043 (VPI/03-01 US)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Young-Choon Moon                      Examiner: Deepak Rao  
Serial No.: 10/799,507                      Art Unit: 1624  
Filing Date: March 12, 2004                      Confirmation No.: 8237  
Title: 4-SUBSTITUTED-5-CYANO-1H-PYRIMIDIN-6-(THI)ONES AS  
GSK-3 INHIBITORS

Mail Stop: Amendments  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**TRANSMITTAL LETTER**

Enclosed are the following documents:

1. Form PTO-1449 (1 pages);
2. Information Disclosure Statement (6 pages);
3. Transmittal Letter (1 page)
4. Cited Art (4); and
5. Return Postcard.

If any additional fees are required to be paid or if any overpayment has been made, please charge same to Deposit Account No. 03-1721.

Respectfully submitted,

Andrea E. C. Robidoux, Reg. No. 47,902  
Agent for Applicants

Choate, Hall & Stewart  
Exchange Place  
53 State Street  
Boston, MA 02109  
(617) 248-5000  
(617) 248-4000

Dated: 1/13/05

**Certificate of Mailing**

I certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Mail Stop: Amendments, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date

Signature

1-13-05 Sandra Saccoccia

Sandra Saccoccia

Typed or Printed Name of person signing certificate



ATTORNEY DOCKET NO.: 2004993-0043 (VPI/03-01 US)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Young-Choon Moon                      Examiner: Deepak Rao  
Serial No.: 10/799,507                      Art Unit: 1624  
Filing Date: March 12, 2004                      Confirmation No.: 8237  
Title: 4-SUBSTITUTED-5-CYANO-1H-PYRIMIDIN-6-(THI)ONES AS GSK-3  
INHIBITORS

Mail Stop: Amendments  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
Sir:

**STATEMENT UNDER 37 C.F.R. §§ 1.56, 1.97, & 1.98**

Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant requests consideration of this Information Disclosure Statement.

**Type of Statement**

The present Information Disclosure Statement is:

- ☒ An *original* Information Disclosure Statement; or
- ☐ A *supplemental* Information Disclosure Statement.

**Certificate of Mailing**

I certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as in an envelope addressed to Mail Stop: Amendments, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

1-13-05 Sandra Saccocia  
Date                      Signature

Sandra Saccocia

Typed or Printed Name of person signing certificate

Compliance with 37 CFR § 1.97

The present Information Disclosure Statement is being filed:

- ☐ Pursuant to 37 CFR § 1.97(b); no fee or certification is required:
  - ☐ Within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d);
  - ☐ Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application;
  - ☐ Before the mailing of a first Office action on the merits; or
  - ☐ Before the mailing of a first Office action after the filing of a request for continued examination under § 1.114.
- ☒ Pursuant to 37 CFR § 1.97(c) after the dates listed above but before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application; Applicant hereby *either*:
  - ☐ Certifies that *either*:
    - ☐ each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or
    - ☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the

knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.; or

☒ [X] Includes herewith the fee set forth in § 1.17(p). Please charge Deposit Account No. 03-1721.

☐ [ ] Pursuant to 37 CFR § 1.97(d), after the mailing date of any final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application; Applicant hereby *both*:

☐ [ ] Certifies that *either*:

☐ [ ] each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or

☐ [ ] That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.; and

☐ Includes herewith the fee set forth in § 1.17(p).

Content of the Information Disclosure Statement

Applicant hereby makes of record in the above-identified application the reference(s) listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

Applicant includes copies of references as indicated below:

- ☒ A copy of each cited reference not indicated with an asterisk is included;
- ☐ Copies of references indicated with an asterisk on the attached form PTO-1449 are not included pursuant to 37 CFR § 1.98(d) because they were previously provided to the United States Patent Office in an Information Disclosure Statement that complies with 37 CFR § 1.98(a)-(c) and was submitted in the following patent application that is relied upon in the present case for an earlier effective filing date under 35 USC § 120:

Serial Number	Filing Date	Status

- ☐ Copies of English translations of one or more non-English references are included.

Applicant hereby makes the following additional information of record in the above-identified application:

Applicant certifies that the Information Disclosure Statement *either*:

- ☒ Does not contain non-English language citations;
- ☐ Does contain non-English language citations, for which an English language abstract is submitted.

[ ] Does contain non-English language citations which were cited on an International Search Report (a copy of which is enclosed herewith).

[ ] Includes one or more translations of a non-English citation.

Remarks

The submission of this Information Disclosure Statement should not be construed as a representation that a search has been made.

The submission of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b) .

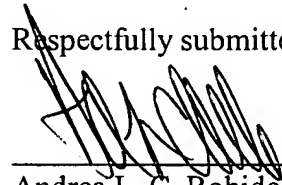
The submission of this Information Disclosure Statement shall not be construed as a representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited patent(s) and publication(s) has (have) been fully considered by the Patent and Trademark Office during the examination of this application; and
3. The citations for the patent(s) and publication(s) be printed on any patent which issues from this application.

Notwithstanding any statements by Applicants, the Examiner is urged to form his or her own conclusions regarding the relevance of the cited reference(s).

Respectfully submitted,



---

Andrea L. C. Robidoux, Reg. No. 47,902  
Agent for Applicants

CHOATE, HALL & STEWART  
Exchange Place  
53 State Street  
Boston, Massachusetts 02109  
(617) 248-5000  
(617) 248-4000

Date: 11/13/05

3788882

<b>Form PTO-1449</b> <b>(REV. 8-83)</b>		U.S. Department of Commerce Patent and Trademark Office		Atty. Docket: 2004993-0043 (VPI/03-01 US)		In re Application No. 10/799,507	
<b>INFORMATION DISCLOSURE STATEMENT</b> <i>(Use several sheets if necessary)</i>				Applicant: . Young-Choon Moon			
				Filing Date: March 12, 2004		Group: 1624	
<b>U.S. PATENT DOCUMENTS</b>							
Examiner's Initials	U.S. Patent No.	Applicant	Issue Date	Class	Subclass		
<b>U.S. PATENT APPLICATIONS</b>							
Examiner's Initials:	Publication Number:	Applicant:	Publication Date:	Group:	Art Unit:		
<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner's Initials	Document No.	Country	Date	Translation			
				Yes	No		
	EP 1 074 549	Europe	19 November 2003				
	WO 02/096905	International	05 December 2002				
	WO 01/70728	International	27 September 2001				
<b>OTHER DOCUMENTS</b>							
Examiner's Initials	Citation (Including Author, Title, Date, Pertinent Pages, Etc.)						
	International Search Report issued for corresponding PCT application PCT/US2004/007801						
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

3788868